



TO: All DWD Managers/Supervisors

FROM: Ronald L. Stiver, Commissioner *RLS*

THRU: Monty W. Combs, Deputy Commissioner
Finance/Controller *MC*

DATE: April 8, 2005

SUBJ: DWD Policy 2004-22
Budget Request Procedures for Unusual Business
Expenses

Mitchell E. Daniels, Jr., Governor
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PURPOSE:

The purpose of this communication is to ensure that DWD staff is aware of the financial procedures to follow whenever funds are needed for unusual business expenses involving the items listed below. Such expenses require prior budget approval from the DWD Controller and/or the Office of Management and Budget.

RESCISSION: DWD Policy 2002-55, issued July 1, 2003

CONTENT:

All of the expenses listed below require the **prior** approval of the DWD Controller and/or the Office of Management and Budget. Expenses totaling less than \$25,000 require only the approval of the DWD Controller. All expenses in excess of \$25,000 require both the DWD Controller and the Office of Management and Budget. Items that require such approval(s) are:

- All requests for Personal Service, regardless of payment method; i.e., guest speakers, consultants, etc.
- Expenditures required for a workshop, conference or seminar (including employer seminars). The sponsoring entity must submit a memo itemizing all expenditures; (i.e., food, beverages, lodging, room rental, audiovisual expenses, honorariums, etc.). As well, all donated funds must be listed by amount and vendor name. The purchasing of meals for **only** state employees where no other outside party is invited, or no travel is involved, are prohibited. Also, **alcoholic beverages are not allowed.**

This also includes attendance at workshops or seminars sponsored by entities other than DWD which provide one (or more) meal(s); (i.e., Chambers of Commerce, etc.).

Prior approval is also required to participate in job fairs, Black Expo, and other such events at which DWD rents booth space; or, to present an Employer Seminar.

- Requests for travel of non-state employees. This includes both in-state and out-of-state travel. All reimbursement of expenses will be made at applicable state rates unless otherwise stated in the contract or letter of agreement.
- Requests involving gifts or awards.
- Spending of discretionary/incentive funds if not used for the regular performance of business. In other words, an irregularity would be if the intended use were to be for such things as office decorations, flowers, planters, etc. **NOTE:** In-house meetings for which pastries, drinks, etc. are being requested, must receive **prior** approval from the DWD Controller.

Requests for any of the above items should be submitted to the Accounts Payable Section **at least thirty (30) days** in advance of the event. Large conferences sponsored by DWD should be submitted to the Accounts Payable Section **at least six weeks** in advance of the event. The Office of Management and Budget (OMB) requires **no less** than two (2) weeks to review a request. Therefore, requests need to be submitted to the Accounts Payable Section in enough time to allow for in-house review and signature and still meet the OMB's time requirement.

The Accounts Payable Section can assist you in preparing your Budget Requests. However, it is your responsibility to prepare the request in a manner that is acceptable to all parties. A checklist is attached of the items that must be included in each Budget Request. Requests which require submission to the Office of Management and Budget will be submitted and tracked by the Accounts Payable staff.

Only the DWD Controller and the Commissioner are authorized to sign contracts with vendors for such things as conference rooms, hotel accommodations for conferences, and the like. These contracts will only be signed **AFTER** approval of the Budget Request is received from the DWD Controller and/or Office of Management and Budget, as applicable. Therefore, it is advised that a Budget Request be completed as early as possible.

EFFECTIVE: Immediately.

REVIEW DATE: June 30, 2007

END DATE: July 30, 2007

OWNERSHIP: Accounts Payable

ACTION: Submit a Budget Request, as described above, to the Accounts Payable Section prior to obligating the agency in any way to a vendor. The attached checklist should be helpful in planning and outlining the costs to be incurred. Each event must be submitted on a separate Budget Request.

Questions may be directed to Missy Wolfe, Assistant Manager, Accounts Payable, at 317/233-6673; or, Pat Tweedy, A/P Manager, at 317/232-7726.

Budget Request Checklist

1. Purpose – provide a narrative description of the event to be held and how the occurrence of that event will benefit the State of Indiana and further the business of DWD.
2. Beginning and ending date(s) of meeting or conference.
3. Location where event is to be held.
4. Estimated Total Attendees: _____ DWD Staff
_____ Other State Employees
_____ Guest Speaker(s)
_____ Other Attendees
5. Proposed Expenses:
 - Meeting Room Costs (If at a hotel, will it be direct billed to DWD?)
 - Coffee/Tea/Iced Tea/Lemonade
 - Miscellaneous – flip chart, microphone, podium, VCR, etc.
 - Guest Speaker honorarium and travel costs
 - Please list any other items not mentioned above.

INDIANA DEPARTMENT OF WORKFORCE DEVELOPMENT

REQUEST FOR APPROVAL OF NONPAYROLL PERSONAL SERVICES (MUST BE SUBMITTED 2 WEEKS PRIOR TO ACTIVITY)

Note: If this is part of a multiple schedule and/or a multiple location activity, explain fully by using additional attachments including a schedule of dates and locations.

DEPARTMENT AND DIRECTOR: Dept. of Workforce Development Monty W. Combs Deputy Commissioner Finance and Administration/Controller	REQUESTOR PHONE #:	BUDGET REQUEST NUMBER FUND/OBJECT/CENTER COST CENTER/PROJECT/FUNCTION
DATE REQUEST SUBMITTED: Date of Activity: (If prior to event) Date of Purchases:	Location:	
I. Objectives: (SHORT NARRATIVE)		
II. Activities: (SHORT NARRATIVE)		
III. Costs: (ITEMIZED)		
TOTAL COSTS:		
IV. Attendees: <div style="display: flex; justify-content: space-between;"> <div> #State Employees: #Other: </div> <div> APPROVED CLAIM VOUCHER AND W-9 NEEDS TO ACCOMPANY INVOICE IN ORDER TO BE PROCESSED FOR PAYMENT </div> </div>		
DEPARTMENT ACTION _____ Approved _____ Disapproved Signature _____ Date _____	STATE BUDGET ACTION _____ Approved _____ Disapproved Signature _____ Date _____	